

IN THE CLAIMS:

The text of all pending claims, (including withdrawn claims) is set forth below. Cancelled and not entered claims are indicated with claim number and status only. The claims as listed below show added text with underlining and deleted text with ~~strike through~~. The status of each claim is indicated with one of (original), (currently amended), (cancelled), (withdrawn), (new), (previously presented), or (not entered).

1. (withdrawn) A method for providing information about a holder of securities, the method comprising:

storing customer information in a securities company server that manages customers of a securities company, the customer information including a name and a postal address of each customer of the securities company;

acquiring transaction information concerning a transaction of securities which involves a customer as a purchaser; identifying as the holder of the securities the customer who has purchased the securities by consulting the transaction information and the customer information;

storing information about the name and postal address of the identified customer in the securities company server; and

making the stored information about the name and postal address of the identified customer accessible to a public company that originally issued the securities purchased by the identified customer.

2. (withdrawn) The method according to claim 1, further comprising:
associating holder information concerning the customer identified with information concerning a person who issues securities and storing associated information in the storage unit; and

retrieving the associated information when the person who issues securities requests a retrieval and searching for information concerning a related holder.

3. (withdrawn) The method according to claim 2, further comprising the steps of:
determining whether the holder of securities after the transaction has paid an amount by a given deadline; and

deleting the holder information concerning said holder of securities from the storage unit when it is determined that the amount has not been paid by the given deadline.

4. (withdrawn) A computer-readable recording medium storing a program that causes a computer to implement a process for providing information about a holder of securities, said program causing the computer to execute a method comprising:

storing customer information in a securities company server that manages customers of a securities company, the customer information including a name and a postal address of each customer of the securities company ;

acquiring transaction information concerning a transaction of securities which involves a customer as a purchaser;

identifying as the holder of the securities the customer who has purchased the securities by consulting the transaction information and the customer information;

storing information about the name and postal address of the identified customer in the securities company server; and

making the stored information about the name and postal address of the identified customer accessible to a public company that originally issued the securities purchased by the identified customer.

5. (currently amended) An authentication apparatus comprising:
means for storing customer information concerning customers in a storage unit;
means for acquiring transaction information concerning a transaction of securities that has been agreed-completed in an exchange; and

means for identifying a holder of the securities as a customer who has purchased the securities after the transaction is completed, by comparing the transaction information with the customer information,

wherein the identifying means identifies a customer who has purchased securities as a real holder of the securities if the customer has already transferred the securities to the customer's own name upon request from a securities company used by the customer to purchase the securities.

and wherein the identifying means excludes the customer if the customer has not applied for transfer of the securities, or if the customer's applied transfer has not been completed.

6. (withdrawn) A method for performing an information process using holder information concerning a holder obtained by an authentication apparatus which authenticates a holder of securities, said method comprising the steps of:

acquiring the holder information;
storing the holder information in a storage unit; and
selecting a given item of holder information from among the holder information stored in the storage unit and sending given information to a holder related to the given item of holder information selected.

7. (withdrawn) The information processing method according to claim 6, wherein said given information includes an IR (Investor Relations) information.

8. (withdrawn) The information processing method according to claim 6, wherein: the securities are stock certificates; and
said given information is related to stockholders of stocks.

9. (withdrawn) The information processing method according to claim 6, wherein: the holder information includes information about the number of securities on a stockholder basis; and
the information processing method further comprises the steps of selecting holders on the basis of information about the number of securities and sending the given information to only the holders selected.

10. (withdrawn) The information processing method according to claim 6, wherein: the holder information includes information about a serial number assigned to each of the securities; and
the information processing method further comprises the steps of selecting holders on the basis of information about the serial number and sending the given information to only the holders selected.

11. (withdrawn) A computer-readable recording medium recording a program that causes a computer to execute a given information process by using holder information concerning a holder of securities obtained by an authentication apparatus that authenticates the holder of securities, said program causing the computer to function as:
means for acquiring the holder information;
means for storing the holder information in a storage unit; and

means for selecting a given item of holder information from among the holder information stored in the storage unit and sending given information to a holder related to the given item of holder information selected.

12. (withdrawn) An information processing apparatus that executes an information process by using holder information concerning a holder of securities obtained by an authentication apparatus that authenticates the holder of securities, said information processing apparatus comprising:

means for acquiring the holder information;

means for storing the holder information in a storage unit; and

means for selecting a given item of holder information from among the holder information stored in the storage unit and sending given information to a holder related to the given item of holder information selected.

13. (new) A method of identifying a customer of securities as the true holder of securities, the method comprising:

retrieving information of a completed securities purchase;

comparing the completed information of the securities purchased with information in a customer information storage; and

identifying a customer as the true owner of the securities, the comparison showing the customer has applied for and completed a transfer of the securities to customer's name by request of the customer's brokerage.